

# PHY-210DE:

Facility Security Officer Overview



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**Completion and Student Feedback Form: (Self-Study)**





## Course Completion and Credit

You are required to read the course material in order to answer the questions on the "Knowledge Check" pages, along with the Lesson 1, 2, and 3 Tests. Once you have completed all the "Knowledge Check" pages, the Lesson 1, 2, and 3 test, along with the "Student Feedback Form" scan and email them to the SNL Contract Security Management (CSM) ([foci@sandia.gov](mailto:foci@sandia.gov)) to receive credit and an FSO certificate.

\*\*\*A minimum test score of 80% is required to receive certificate.

### —Important Note—

If an eFOCI package is being completed, this training must be completed/submitted or package is not considered complete and will delay processing.



# LESSON 1

## INTRODUCTION AND FSO ROLES



## Lesson Goal and Objectives

When you finish this lesson, you will be familiar with the position of facility security officer (FSO) and the role it plays in DOE security.

The objectives of this lesson are to

1. Identify the responsibilities of an FSO
2. Identify the role of an FSO
3. Identify reference material that is helpful to FSOs
4. Identify how many FSOs a contractor may need

**A U.S. citizen with a security clearance equivalent to the facility clearance who is assigned the responsibility of administering the requirements of the safeguards and security program in the facility.**



## Responsibilities of an FSO

Every organization performing safeguards and security tasks and services for the U.S. Department of Energy (DOE) is required to appoint its own FSO. Examples of these organizations that require an FSO are DOE offices, prime contractors to DOE, or subcontractors to a prime contractor. DOE, the prime contractor, and the subcontractors each appoint their own FSOs to serve as security points of contact (POCs). More important than being a POC, the FSO is primarily responsible for administering the requirements of the **Safeguards and Security (S&S)** Program within his/her facility and ensuring that proper levels of protection are provided to prevent unacceptable, adverse impacts on national security or on the health and safety of DOE and contractor employees, the public, or the environment.

In addition to complying with the DOE requirements, companies operating under the auspices of the **National Industrial Security Program (NISP)** may have additional training requirements. These requirements are based on the company's or facility's involvement with classified information. Requirements may include an FSO orientation course, and for FSOs at facilities with safeguarding capability, an FSO Program Management course. Training, if required, should be completed within one year of appointment to the FSO position.

### **Safeguards and Security (S&S)**

The requirements identified in the relevant order and its topical manuals, based on national policy promulgated in laws, regulations, and executive orders to prevent unacceptable adverse impacts on national security, the health and safety of DOE and contractor employees, the public, or the environment.

### **National Industrial Security Program (NISP)**

A program established by Executive Order 12829, National Industrial Security Program (NISP), for the protection of classified information in the possession of a Government contractor.



## Role of an FSO

The importance of the FSO's role within the organization cannot be overstated. In serving as the company's point of contact (POC) for any security-related matter, he/she directs the implementation of security measures and is responsible for coordinating implementation of a security program with the prime contractor, DOE. The FSO is instrumental in making sure that personnel are aware of good security procedures and practice them, whether personnel have access to classified information or other DOE security interests or not. FSOs ensure that the organization's employees know their responsibilities regarding security procedures.

The duties assigned to FSOs can vary widely depending on the structure of their organizations. For example, whether or not the FSO's office location is physically separated from the location where employees work can have an impact on the FSO's role. Another factor is whether the company is a possessing facility.

**A facility that will possess classified information or matter, or SNM (Special Nuclear Matter) at the place of business.**

## Knowledge Check

Question 1 of 1

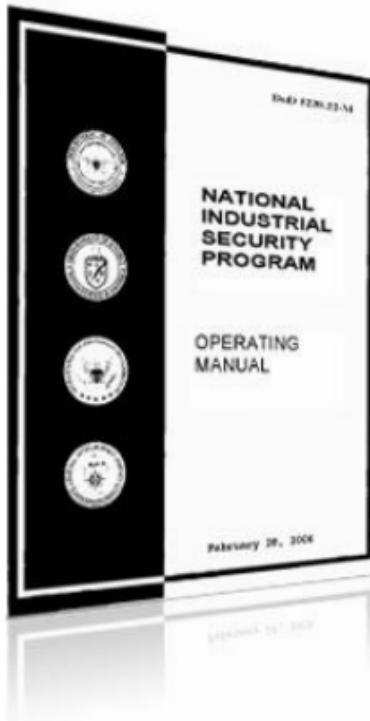
Point Value: 10

The primary role of an FSO is to serve as the organization's point of contact (POC) for security-related matters.

- ☐ True
- ☐ False

## Reference Material for FSOs

The FSO position is referenced in the following DOE documents.



### Access Authorization

An administrative determination that an individual is eligible for access to classified matter when required by official duties or is eligible for access to, or control over, special nuclear material.

- DOE M 470.3. *Protection Program Operations*
- DOE O 470.4B, Chg. 1 *Safeguards and Security Program Planning and Management*, Appendix B, Section 2 "Foreign Ownership, Control, or Influence Program"
- DOE Policy Information Resource Glossary
- DOD 5220.22-M , *National Industrial Security Program Operating Manual (NISPOM)*

As cited in the DOE Glossary, an FSO must be a U.S. citizen with an access authorization equivalent to the facility clearance, assigned the responsibility of administering the requirements of the S&S Program within the facility. To meet the requirements of the *National Industrial Security Program Operating Manual (NISPOM)*, the contractor FSO and key management personnel must possess access authorizations equivalent to the level of the facility clearance.

### Facility Clearance

An administrative determination that a facility (including an appropriately sponsored contractor) is eligible to access, receive, produce, use, and/or store classified matter, nuclear materials, other hazardous material presenting a potential radiological, chemical, or biological sabotage threat, and/or Departmental property of significant monetary value.



## **Lesson Summary**

You should now be familiar with the following material:

1. The responsibilities of an FSO
2. The role of an FSO
3. Reference material that is helpful to FSOs
4. How many FSOs a contractor may need

An exam, based on the lesson objectives, follows this page. Please complete the exam, and return the answer pages back to SNL CSM ([foci@sandia.gov](mailto:foci@sandia.gov)).



## PHY-210DE Lesson 1 Test

Question 1 of 5

Point Value: 20

To meet the requirements of \_\_\_\_\_, the contractor FSO and key management personnel must possess access authorizations equivalent to the level of the facility clearance.

- ☐ DOE M 470.4-3A, Contractor Protective Force
- ☐ DOE M 470.4-1, Chg. 2, Safeguards and Security Program Planning and Management
- ☐ DOD 5220.22-M , National Industrial Security Program Operating Manual (NISPOM)



## PHY-210DE Lesson 1 Test

Question 2 of 5

Point Value: 20

The primary responsibility of an FSO is \_\_\_\_\_.

- ☐ Determining what responsibilities they want to assume and for which they will be held accountable
- ☐ Providing guidance to DOE and DOE prime contractor FSOs
- ☐ Overridden by the responsibilities off the FSO to their individual companies or organizations
- ☐ Administering the requirements of the DOE S&S Program within their facility

## PHY-210DE Lesson 1 Test

Question 3 of 5

Point Value: 20

As cited in the DOE Glossary, an FSO is not required to be a U.S. citizen.

- ☐ True
- ☐ False

## PHY-210DE Lesson 1 Test

Question 4 of 5

Point Value: 20

Which of the following are true statements about the role of an FSO? (Select all that apply.)

- ☐ An FSO ensures that the organization's employees know their responsibilities regarding security procedures.
- ☐ The duties assigned to an FSO do not differ from one organization to another.
- ☐ An FSO serves as the company's point of contact (POC) for any security-related matter.
- ☐ The roles of FSOs within the same organization may differ.

## PHY-210DE Lesson 1 Test

Question 5 of 5

Point Value: 20

Which of the following are true statements about the number of FSOs and their responsibilities within an organization? (Select all that apply.)

- ☐ Although the roles assigned to FSOs may vary, their primary responsibility remains constant.
- ☐ The FSO is responsible for administering the requirements of the S&S Program within his/her facility.
- ☐ If a DOE contractor organization has a main corporate headquarters as well as branch offices, the organization may need more than one FSO.
- ☐ A corporate FSO may provide the necessary direction, share corporate security knowledge, and serve as a resource to FSOs in branch offices.



## LESSON 2

# FSO OVERSIGHT RESPONSIBILITIES

## Lesson Goal and Objectives

When you finish this lesson, you will acquire the basic awareness needed by the FSO regarding facility security requirements.

The objectives of this lesson are to

1. Identify the document that formally registers a facility within DOE
2. Identify the purpose of the Foreign Ownership, Control, or Influence (FOCI) program
3. Categorize facility importance ratings
4. Identify the mandatory S&S awareness briefings
5. Define an infraction
6. Distinguish between an administrative inquiry and a criminal investigation
7. Identify employee responsibilities during an inquiry

Please see definitions on next page for each underlined glossary word above.



### **Foreign Ownership, Control, or Influence (FOCI)**

The condition that exists when a foreign interest has the power, direct or indirect, whether or not exercised and whether or not exercisable through ownership of a U.S. company's securities, by contractual arrangements or other means, to direct or decide matters affecting the management or operations of a U.S. company in a manner that may result in unauthorized access to classified information and/or special nuclear material or may adversely affect the performance of classified contracts.

### **Facility Importance Ratings**

A ranking that identifies the Departmental interest or property and its associated survey frequency.

### **Infraction**

1. Any knowing, willful, or negligent action contrary to the requirements of Executive Order 12958, Classified National Security Information, as amended, or its implementing directives that does not constitute a "violation."
2. The documentation of administrative and/or disciplinary actions assigned to an individual taken in response to an incident of security concern.

### **Inquiry**

A review of the circumstances surrounding an incident of security concern to compile all pertinent information and to determine whether an infraction, violation, or a compromise or potential compromise has occurred.

### **Investigation**

1. A review of the circumstances surrounding an incident of security concern by law enforcement entities.
2. A process used to gain an understanding of a Material Control & Accountability discrepancy, incident, or alarm, its cause(s), and if the situation is not satisfactorily resolved, the corrective action(s) necessary to prevent recurrence or remedy the problem.



## Facility Clearance Program

The facility clearance program regulates Departmental approval of a facility's eligibility to access, receive, generate, reproduce, store, transmit, or destroy **classified matter**, **special nuclear material (SNM)**, other hazardous material presenting a potential radiological or toxicological sabotage threat, and/or over \$5 million of DOE property exclusive of facilities and land value (collectively, S&S activities). DOE requires that a facility clearance be granted to a facility before any performance of safeguards and security activities is permitted. It is important to note that the term *facility clearance*, as used in this lesson, applies to both the contractor clearance (for **non-possessing** facilities) and the contractor facility clearance (for possessing facilities).

Anything that is determined to be classified either by combination of data (knowledge, spoken, heard), documents, material, or that is classified in and of itself.

A facility that will not possess classified information or matter, or SNM at the place of business and will only access such security activities at other cleared facilities.

Plutonium, uranium 233, uranium enriched in the isotope 235, and any other material that, pursuant to 42 U.S.C. 2071 (section 51, as amended, of the Atomic Energy Act of 1954), has been determined to be special nuclear material but does not include source material; it also includes any material artificially enriched by any of the foregoing, not including source material.

## Facility Clearance Program

The terms *facility*, *facility clearance*, and *S&S activity* have DOE-specific meanings exclusive to a DOE environment

### Facility

An educational institution, manufacturing plant, laboratory, office building, or complex of buildings located on the same site that is operated and protected by the Department, the U.S. Nuclear Regulatory Commission, or their contractors.



### Facility Clearance

An administrative determination that a facility is eligible to access, receive, produce, use, and/or store classified matter, nuclear materials, or Departmental property of significant monetary value. DOE Form 470.2, Facility Data Approval Record (FDAR) basically acts as the facility's "birth certificate." The facility cannot perform any classified work for DOE until the FDAR is in place.

### S&S Activity

Any work performed under contract, subcontract, or other agreement that involves access to classified information, nuclear material, or Departmental property of significant monetary value by the Department, a Department contractor, or any other activity under Departments jurisdiction. Also included is the verification of the capabilities of approved Federal locations.

## Purpose of the FOCI Program

A FOCI determination is required for contractors who will have employees and key management personnel with access authorizations. The FOCI program reviews ownership of the company seeking facility clearance approval and the extent of any foreign involvement. The purpose of the FOCI program is to protect the common defense and security of the facility against any risk due to foreign involvement with a DOE contractor, if access authorization makes classified information or SNM available to contractors or subcontractors whose companies are owned, controlled, or influenced by foreign interests.

A facility clearance will not be granted until all relevant aspects of FOCI have been resolved and, if necessary, favorably adjudicated. In addition, an existing facility clearance will be suspended, or may be terminated, for doing business with a contractor determined to be under FOCI.

Details on the FOCI program may be found in DOE O 470.4B, Chg. 1 Appendix B, Section 2 , “Foreign Ownership, Control, or Influence Program”.



**DOE M 470.4-1,  
Part 2, Section H**

## Facility Importance Ratings

Facility importance ratings provide a means of identifying the type of S&S facility and/or the type of S&S activities offered by a company seeking to do business with the Department. The FDAR and the initial facility survey are used as the basis for assigning an importance rating to the facility. A non-possessing facility is exempt from the initial survey requirements. The seven facility importance ratings (described more fully in DOE O 470.4B, Chg. 1, Appendix B, Section 1 ) are as follows:



**Breakdown  
of each rating  
on next 2  
slides**

# A

Assigned to activities and facilities that meet any of the following criteria:

Engaged in administrative activities essential to the direction and continuity of the overall DOE nuclear weapons program, according to determination by heads of Headquarters elements or field officer

Authorized to possess Top Secret matter

Authorized to possess Category I quantities of SNM

# B

Assigned to activities and facilities that meet any of the following criteria:

Engaged in activities other than those categorized as "A" and authorized to possess Secret Restricted Data and/or weapons data

Designated as a Field Intelligence Element (FIE)

Authorized to possess Category II quantities of SNM

# C

Assigned to activities and facilities that meet any of the following criteria:

Authorized to possess Categories III and IV quantities of SNM or other nuclear materials requiring safeguard controls or special accounting practices

Authorized to possess classified matter other than the type categorized for "A" and "B" facilities

# D

Assigned to activities and facilities that provide common carrier, commercial carrier, or mail service. These facilities are not authorized to store classified matter or nuclear material. Carriers who do must be assigned an "A," "B," or "C" Importance rating.



# E

Excluded Parent—assigned to a corporate tier "parent" of a contractor organization that has been barred from participation in the activities related to a contract with DOE.



# PP

Property Protection—assigned to facilities to which a special standard of protection must be applied; these special standards are applied when a facility has any of the following:

- Government property of a significant monetary value (\$5 million or more)
- Nuclear materials other than those categorized as types "A," "B," or "C" that require safeguard controls or special accounting procedures
- DOE program continuity
- National security considerations
- Responsibilities for protection of public health and safety
- Basic considerations that include physical protection to prevent or deter acts of arson, civil disorder, riots, sabotage, terrorism, vandalism, and theft or destruction of DOE property and facilities

# NP

Non-possessing—assigned to facilities that have authorized access to classified information or special nuclear materials at other approved locations. Non-possessing facilities do not, themselves, possess any classified matter or nuclear material.

## Knowledge Check

### Question 1 of 2

Point Value: 10

Complete the following statements by selecting the correct response for each statement,

A facility importance rating of \_\_\_\_\_ is assigned to a facility engaged in activities other than those categorized as "A" and authorized to possess Secret Restricted Data and/or weapons data.

A facility importance rating of \_\_\_\_\_ is assigned to activities and facilities that provide common carrier, commercial carrier, or mail service; these facilities are not authorized to store classified matter or nuclear material.

A facility importance rating of \_\_\_\_\_ is assigned to facilities to which a special standard of protection must be applied (for example, when the facility has national security considerations or responsibilities for protection of public health and safety).





## S&S Awareness Briefings

An FSO is responsible for providing mandatory security briefings; the extent to which the FSO is responsible for providing these briefings differs from organization to organization. It is influenced by the organization's **Site Safeguards and Security Plan/Site Security Plan (SSSP/SSP)** agreement with the lead responsible office or the prime contractor's FSO. Required briefing subjects are described in DOE O 470.4B, Chg. 1, *Safeguards and Security Program Planning and Management*. Subjects include facility overview, classification and access authorization procedures, protection of unclassified controlled information, badging and access control procedures, prohibited articles, property protection procedures, reporting responsibilities, and substance abuse policies.



Briefings are at the heart of any security awareness program. Each program must include the development and presentation of at least four types of briefings: *initial, comprehensive, refresher, and termination*.

**An official document required at facilities containing Category I special nuclear material or with credible roll-up that describes the site-wide protection programs and evaluations of risk associated with DOE O 470.3B, Graded Security Protection (GSP) Policy, and identified facility targets./An official document that describes the protection program in place required at locations that, because of limited scope of interests, do not require a site safeguards and security plan.**



## S&S Awareness Briefings

### —Initial Briefing—

Initial briefings are given to all individuals (cleared and uncleared) who are newly hired or newly assigned to a facility or transferred to a new site, to acquaint them with the facility's programs, activities, and security procedures and their own security responsibilities. The initial briefing must be completed before individuals report to their work areas, generally as a part of in-processing.

When employment or assignment coincides with access authorization, initial and comprehensive security briefings may be combined. Initial briefings may be supported by employee handouts; examples include a security handbook, a list of reporting requirements, a list of controlled and prohibited articles, a site map, samples of document cover sheets and markings, a list of security contacts, and a current security newsletter.



Termination  
Briefing

Refresher  
Briefing

**Comprehensive  
Briefing**

Initial  
Briefing

## S&S Awareness Briefings

### —*Comprehensive Briefing*—

Comprehensive briefings are given to individuals granted DOE access authorizations and to cleared individuals who are being transferred between organizational elements to a new primary working environment. The purpose of this briefing is to inform individuals of the laws, policies, and procedures regulating classified matter, and of their security responsibilities for the protection and control of classified matter. As a condition of access to classified matter, individuals must complete a Standard Form 312 (SF-312), *Classified Information Nondisclosure Agreement*.

After an access authorization is granted, the individual must be given a comprehensive security briefing before he or she is given access to classified matter or SNM. This briefing should be conducted as soon as possible after the access authorization is granted. When this process coincides with the beginning of employment, initial and comprehensive briefings may be combined.



## S&S Awareness Briefings

### —*Comprehensive Briefing*— Continued

Examples of comprehensive briefing handouts include a list of reporting requirements for access authorization holders; samples of document cover sheets for Secret, Confidential, and other markings; examples of incidents requiring notification to local security office; and classified information matrices.

When possible, this briefing should involve subject matter experts from other security-related programs. It should be coordinated with the job-specific briefing that cleared individuals will receive on classified matter protection and control (CMPC) to avoid duplication.

Refers to the Information Security program established to protect and control classified matter that is generated, received, transmitted, used, stored, reproduced, permanently buried, or destroyed. CMPC further establishes requirements for an audit trail for all accountable classified matter; and required controls based on classification level, category, or special handling instructions or caveats.





Termination  
Briefing

**Refresher  
Briefing**

Comprehensive  
Briefing

Initial  
Briefing

## S&S Awareness Briefings

### —*Refresher Briefing*—

Refresher briefings are required annually for all individuals who have access authorization. The objectives are to supplement, update, and reinforce security-related knowledge; to sustain heightened awareness of security issues; and to motivate fulfillment of security responsibilities. A refresher briefing is presented annually at approximately 12-month intervals.

The refresher briefing offers a critical opportunity to influence and affect a person's understanding and knowledge of security. It is essential that coordinators stay aware of local and national security developments, issues, and concerns. The refresher briefing may be delivered by various methods including oral presentation, videotapes, and computer- or Web-based presentations. The briefing must selectively reinforce the information provided in the comprehensive briefing.



## S&S Awareness Briefings

—*Refresher Briefing*— Continued

Security developments over time, site-specific considerations, recent security incidents, and current events may guide subject selection. Suggested briefing contents include reporting requirements, CMPC requirements and procedures, Unclassified Controlled Nuclear Information (UCNI), Official Use Only (OUO), need-to-know criteria, escorting procedures, insider threats, and hostile intelligence threats.

A determination made by an authorized holder of classified or unclassified controlled information that a prospective recipient requires access to specific classification or unclassified controlled information in order to perform or assist in a lawful and authorized governmental function.



## Termination Briefing

Refresher Briefing

Comprehensive Briefing

Initial Briefing

## S&S Awareness Briefings

### —Termination Briefing—

A termination briefing is required whenever an individual's access authorization has been or will be terminated for any reason. The termination briefing is given to impress upon each individual the continuing responsibility not to disclose classified information to which the person had access and the obligation to return all wholly or partially classified documents and materials in the person's possession to the appropriate DOE official. The briefing must also cover the potential penalties for noncompliance.

The termination briefing must be conducted on the individual's last day of employment, the last day the individual possesses an access authorization, or the day it becomes known that the individual no longer requires access to classified matter or SNM, whichever is soonest. A site's Human Resources office typically notifies the site security office when an individual with an access authorization is to be terminated. A contractor or subcontractor company also notifies site security of a cleared employee's termination. When it is determined that an individual no longer requires an access authorization, notification must be made electronically or verbally to the cognizant DOE personnel security organization **within two working days**.



## Knowledge Check

Question 2 of 2

Point Value: 10

After an access authorization is granted, an individual must be given a comprehensive security briefing before he/she is given access to classified matter or SNM.

- ☐ True
- ☐ False

Event that is of concern to the DOE safeguards and security program that warrants preliminary inquiry and subsequent reporting.

## Incidents of Security Concern

The FSO may participate in some preliminary aspects of responding to **incidents of security concern**, and may also be called upon to assist with the conduct of inquiries, as set forth in various DOE directives such as DOE O 470.4A, *Safeguards and Security Program*; DOE O 470.4B, Chg. 1 *Safeguards and Security Program Planning and Management*; and DOE M 470.4-4A, *Information Security Manual*.

*Infractions* are knowing, willful, or negligent acts or omissions that do not constitute a violation of law or result in actual compromise, but that could reasonably be expected to result in an unauthorized disclosure of classified information. Types of Incidents that may result in infractions include the following:


- Failure to properly store and protect classified documents or matter
- Loss of a pass or badge due to negligence
- Failure to safeguard a computer access password
- Leaving an up-and-running computer workstation unattended at the close of business (or when the room is unattended) when it contains classified information or has access to a classified host computer
- Any attempt to obstruct justice



## Incidents of Security Concern

An *inquiry* is an administrative proceeding to gather accurate, impartial facts about the incident of security concern. An inquiry does not indicate suspicion of intentional violation of criminal law; it is simply a data-gathering exercise generally conducted by the contractor.

In contrast, an *investigation* is initiated as a result of an inquiry to collect facts and evidence about a suspected violation of law. It is used to support criminal prosecution generally conducted by Federal oversight. Inquiries are terminated immediately upon discovery of credible evidence that an intentional violation of criminal law may have occurred. Inquiries must be kept separate from investigations. Incidents of security concern *at the time of occurrence* are of enough concern to warrant immediate review, inquiry, assessment, and reporting.



## Incidents of Security Concern

The FSO has 24 hours to examine and document all pertinent facts and circumstances to determine whether an incident has occurred. During this period, the incident must be categorized by an impact measurement index (IMI) number. If it is determined that an incident of security concern did not occur, no further action is required. If an incident has occurred, there are specific rules about further steps to take (discussed in NTC course ISC-121DE, *Introduction to Classified Matter Protection and Control*).



## Incidents of Security Concern

The FSO is responsible for raising employees' awareness of their responsibilities in the inquiry process. Employee responsibilities include the following:



- Immediately upon discovery, report to the facility security officer (FSO) that classified matter has been or may have been lost or compromised or is otherwise unaccounted for.
- Immediately report all other actual or suspected security infractions to the DOE or the prime contractor's security point of contact.
- Comply with safeguards and security requirements established in the DOE directives and the site-specific safeguards and security procedures.
- Cooperate fully with the employer's inquiry into a work-related misconduct/concern, since they are legally entitled to interview an employee concerning a violation of policy or procedure.



## Lesson Summary

You should now be familiar with the following material:

1. The document that formally registers a facility within DOE
2. The purpose of the Foreign Ownership, Control, or Influence (FOCI) program
3. Categorizing facility importance ratings
4. Mandatory S&S awareness briefings
5. The definition of an infraction
6. Distinguishing between an administrative inquiry and a criminal investigation
7. Employee responsibilities during an inquiry



## PHY-210DE Lesson 2 Test

Question 1 of 7 ▼

Point Value: 15

You have learned that during the facility clearance process, an administrative determination is made that a facility is eligible to access, receive, produce, use, and/or store classified matter, nuclear materials, or DOE property of significant monetary value. Which of the following documents serves to formally register a facility with DOE?

- ☐ Standard Form 312, Classified Information Nondisclosure Agreement (SF-312)
- ☐ DOD 5220.22-M , National Industrial Security Program Operating Manual (NISPOM)
- ☐ DOE M 470.4-3A, Contractor Protective Force,
- ☐ Form 470.2, Facility Data and Approval Record (FDAR)



## PHY-210DE Lesson 2 Test

Question 2 of 7 ▼

Point Value: 14

An \_\_\_\_\_ is a knowing, willful, or negligent act or omission that does not constitute a violation of law or result in actual compromise, but that could reasonably be expected to result in an unauthorized disclosure of classified information.

- ☐ Incident
- ☐ Investigation
- ☐ Infraction
- ☐ Inquiry

## PHY-210DE Lesson 2 Test

Question 3 of 7 ▼

Point Value: 14

Which of the following are employee responsibilities during the inquiry process?  
(Select all that apply.)

- ☐ Immediately report all other actual or suspected security infractions to the DOE or the prime contractor's security point of contact.
- ☐ Cooperate fully with the employer's inquiry into a work-related misconduct/concern.
- ☐ Comply with S&S requirements established in DOE directives and site-specific S&S procedures.
- ☐ Immediately upon discovery, report to the FSO that classified matter has been or may have been lost or compromised or is otherwise unaccounted for.

## PHY-210DE Lesson 2 Test

Question 4 of 7 ▼

Point Value: 14

The four types of mandatory S&S awareness briefings include \_\_\_\_\_.

- ☐ Initial, comprehensive, refresher, and termination
- ☐ Initial, job-specific, comprehensive, and refresher
- ☐ Job-specific, comprehensive, refresher, and termination
- ☐ Job-specific, initial, comprehensive, and termination

## PHY-210DE Lesson 2 Test

Question 5 of 7 ▼

Point Value: 14

The purpose of the DOE FOCI program is to determine \_\_\_\_\_.

- ☐ The monetary value of DOE property
- ☐ The facility importance rating
- ☐ Any risk to security because of foreign involvement with a DOE contractor
- ☐ The eligibility of a DOE facility to access, receive, produce, use, and/or store classified matter, nuclear materials, or DOE property of significant monetary value

## PHY-210DE Lesson 2 Test

Question 6 of 7 ▼

Point Value: 14

An \_\_\_\_\_ is an administrative proceeding to gather accurate, impartial facts about an incident of security concern. It does not indicate suspicion of intentional violation of criminal law, but is simply a data-gathering exercise generally conducted by the contractor.

An \_\_\_\_\_ is initiated as a result of an inquiry to collect facts and evidence about a suspected violation of law, and is used to support criminal prosecution generally conducted by Federal oversight.

- ☐ A. Inquiry, B. Investigation
- ☐ A. Investigation, B. Inquiry

Match each type of facility importance rating with its description.

Authorized to possess Top Secret Matter or Category I quantities of SNM \_\_\_\_\_

Engaged in activities other than those categorized as “A” and authorized to possess Secret Restricted Data and/or weapons data or Category II quantities of SNM. \_\_\_\_\_

Authorized to possess Categories III and IV quantities of SNM or other nuclear materials requiring safeguards controls or special accounting practices. \_\_\_\_\_

Assigned to activities and facilities that provide common carrier, commercial carrier, or mail service; not authorized to store classified matter or nuclear material. \_\_\_\_\_



Match each type of facility importance rating with its description.

Assigned to corporate tier “parent” of a contractor organization that has been barred from participation in the activities related to a contract with DOE \_\_\_\_\_

Assigned to facilities to which a special standard of protection must be applied, such as physical protection to prevent or deter acts of arson, civil disorder, riots, sabotage, terrorism, vandalism, and theft or destruction of DOE property and facilities. \_\_\_\_\_

Assigned to facilities that have authorized access to classified information or special nuclear materials at other approved locations but do not possess any classified matter or nuclear material themselves. \_\_\_\_\_





## LESSON 3

# OTHER RELATED CONCEPTS FOR FSOS

## Lesson Goal and Objectives

When you finish this lesson, you will acquire an understanding of other security-related concepts for FSOs.

The objectives of this lesson are to

1. Identify types of DOE security areas
2. Identify security area controlled/prohibited articles
3. Identify security area privately-owned prohibited articles
4. Identify the purpose of the **Nuclear Materials Control and Accountability (NMC&A)** Program
5. Identify materials designated as SNM
6. Identify SNM classifications
7. Identify the purpose of graded protection

Refers to the Safeguards and Security (S&S) program established for the control and accountability of nuclear materials within DOE, including the National Nuclear Security Administration (NNSA).



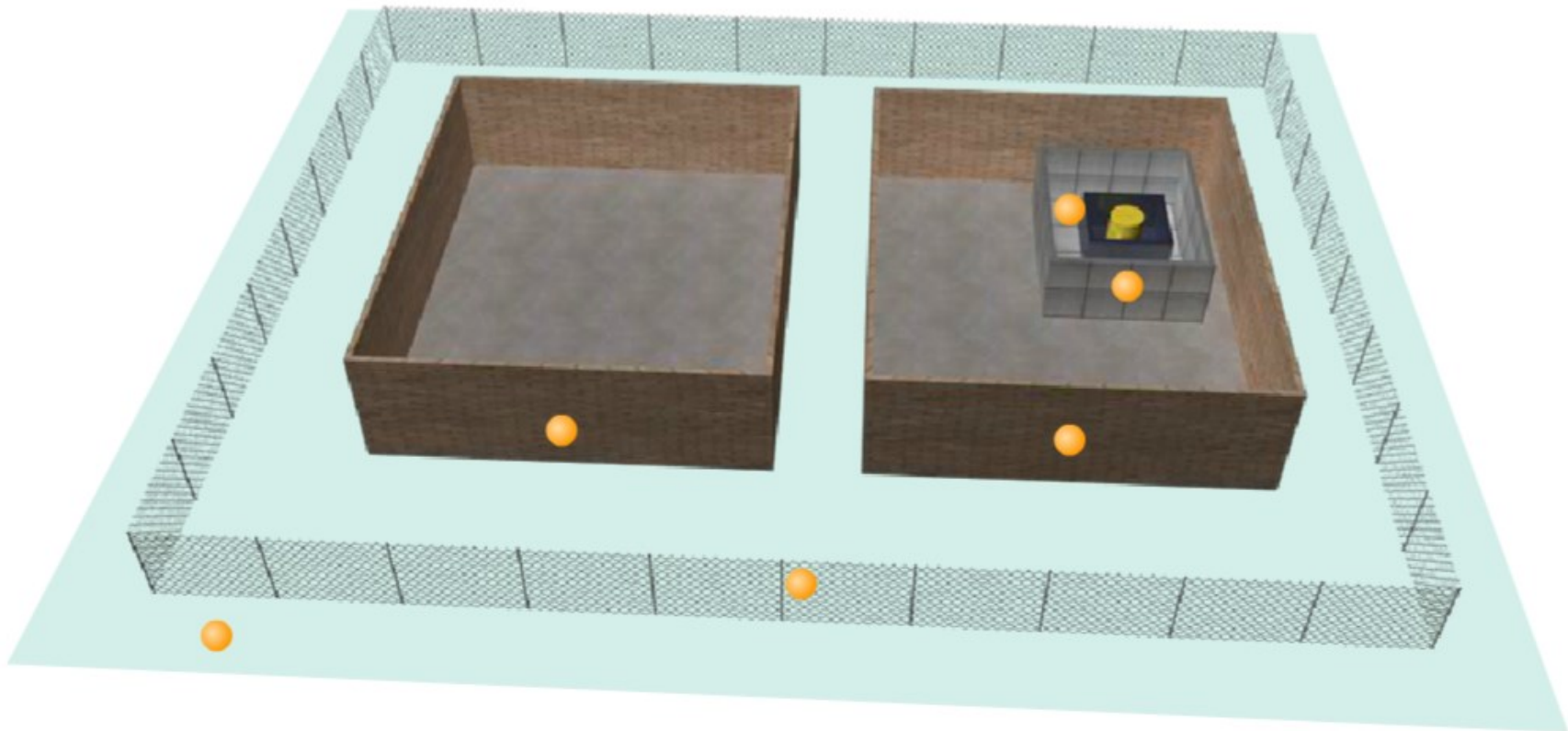
## Review of DOE Security Areas

An FSO must have a clear understanding of other security-related concepts. First, a thorough knowledge of facility **security areas** is required. The term *security area* refers to any area containing DOE S&S interests that require physical protection measures. DOE facilities typically include a series of physical spaces designated as security areas surrounding a designated S&S interest. These security areas provide for the imposition of varying or **graded protection** measures that entail controlling access to and egress from the designated areas and security.

A defined area containing safeguards and security interests that requires physical protection measures. The types of security areas used in the Department include property protection areas, limited areas, exclusion areas, protected areas, material access areas, and functionally specialized security areas such as sensitive compartmented information facilities, classified computer facilities, and secure communications centers.

The policies and safeguards and security measures (level of effort and resources) that are applied proportionally to protect safeguards and security interests based on the impact of their loss, destruction, or misuse.

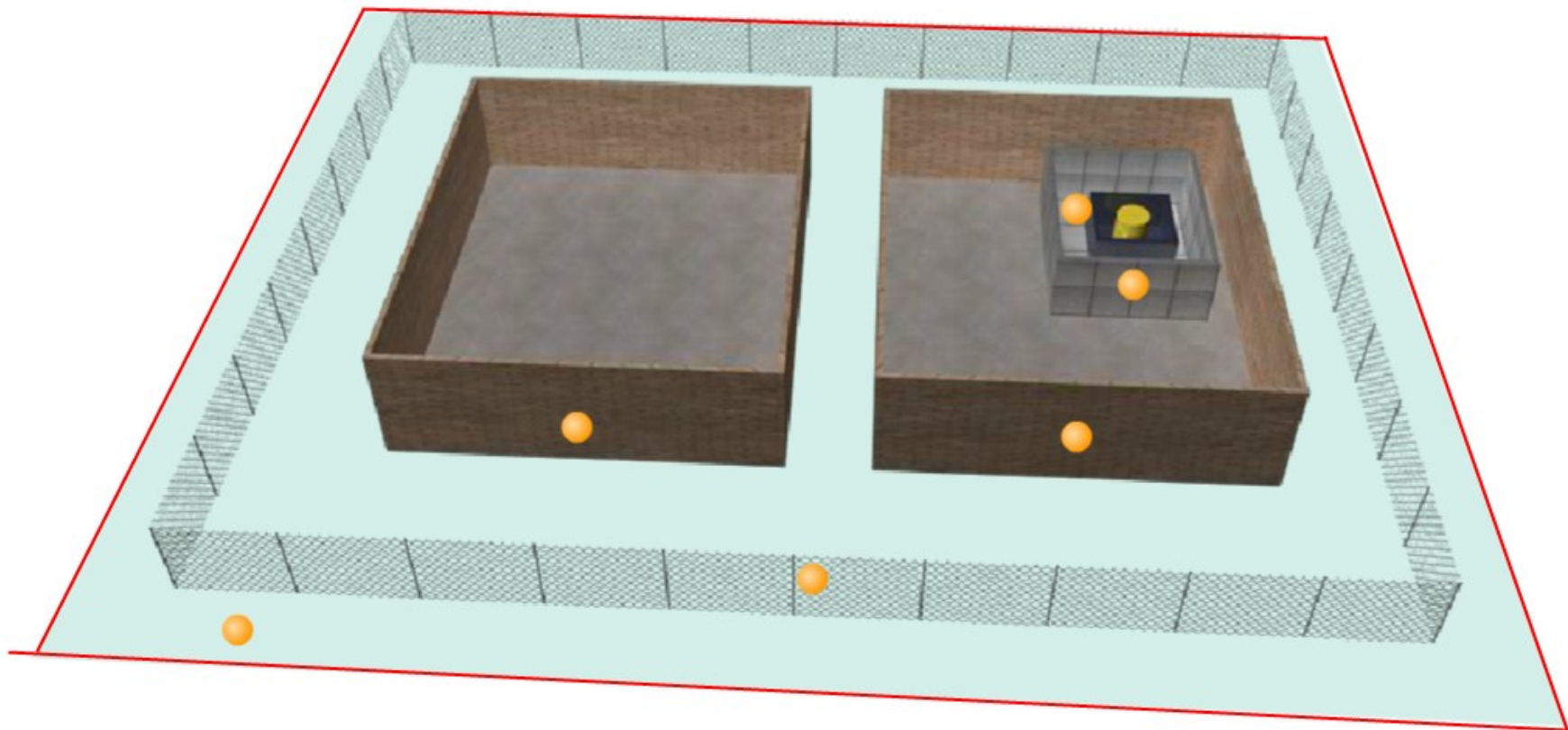
## Review of DOE Security Areas



## Review of DOE Security Areas

### Property Protection Area (PPA)

PPAs are established areas having defined boundaries and access controls for the protection of DOE property. Protection measures shall be adequate to give reasonable assurance of protection for the assets and Departmental property.

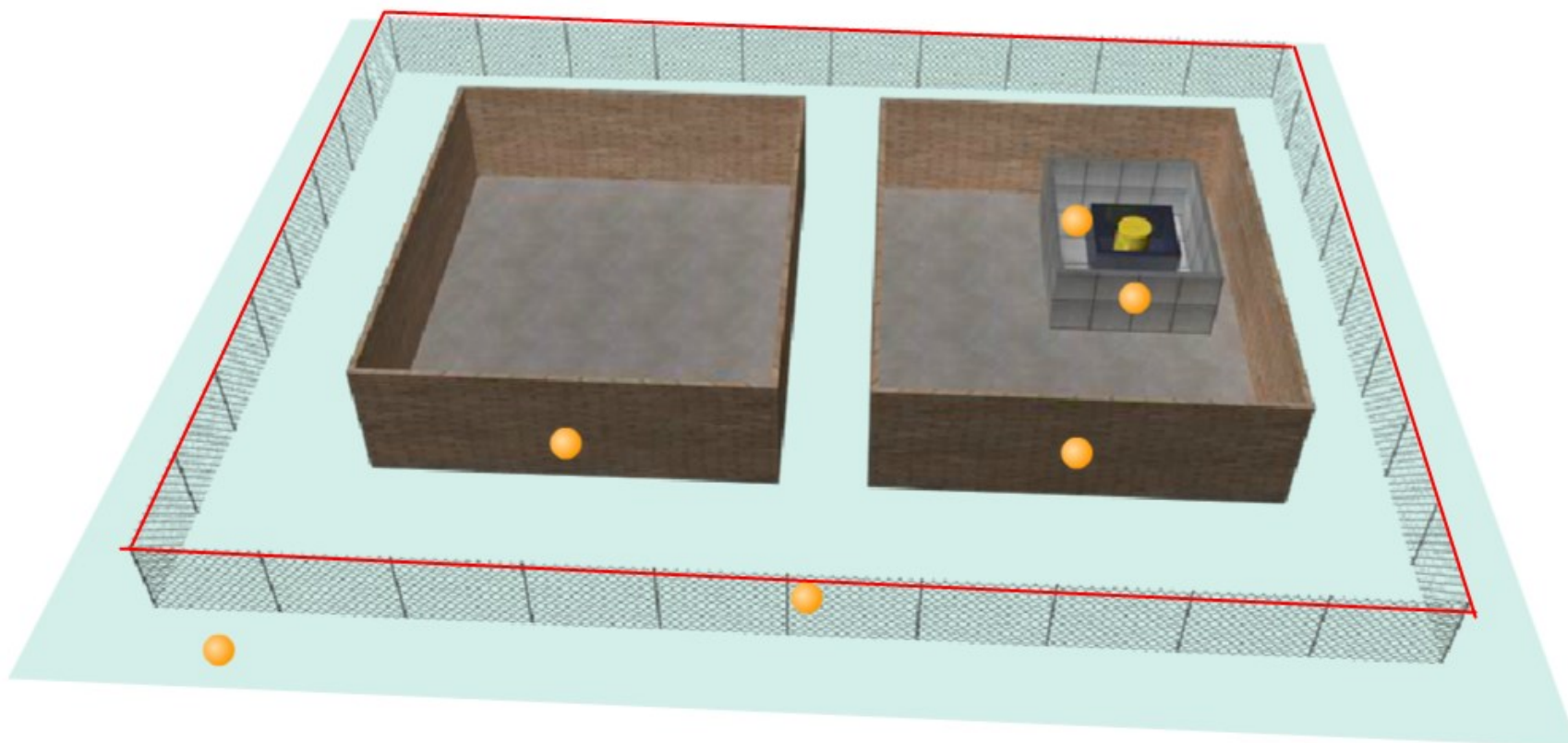




## Review of DOE Security Areas

### Limited Area (LA)

LAs are security areas having boundaries defined by physical barriers, used for the protection of classified matter and/or Category III quantities of special nuclear material, where protective personnel or other internal controls can prevent access by unauthorized people to classified matter or special nuclear material. Security officers, security police officers or other internal security measures provide the necessary means to control access.

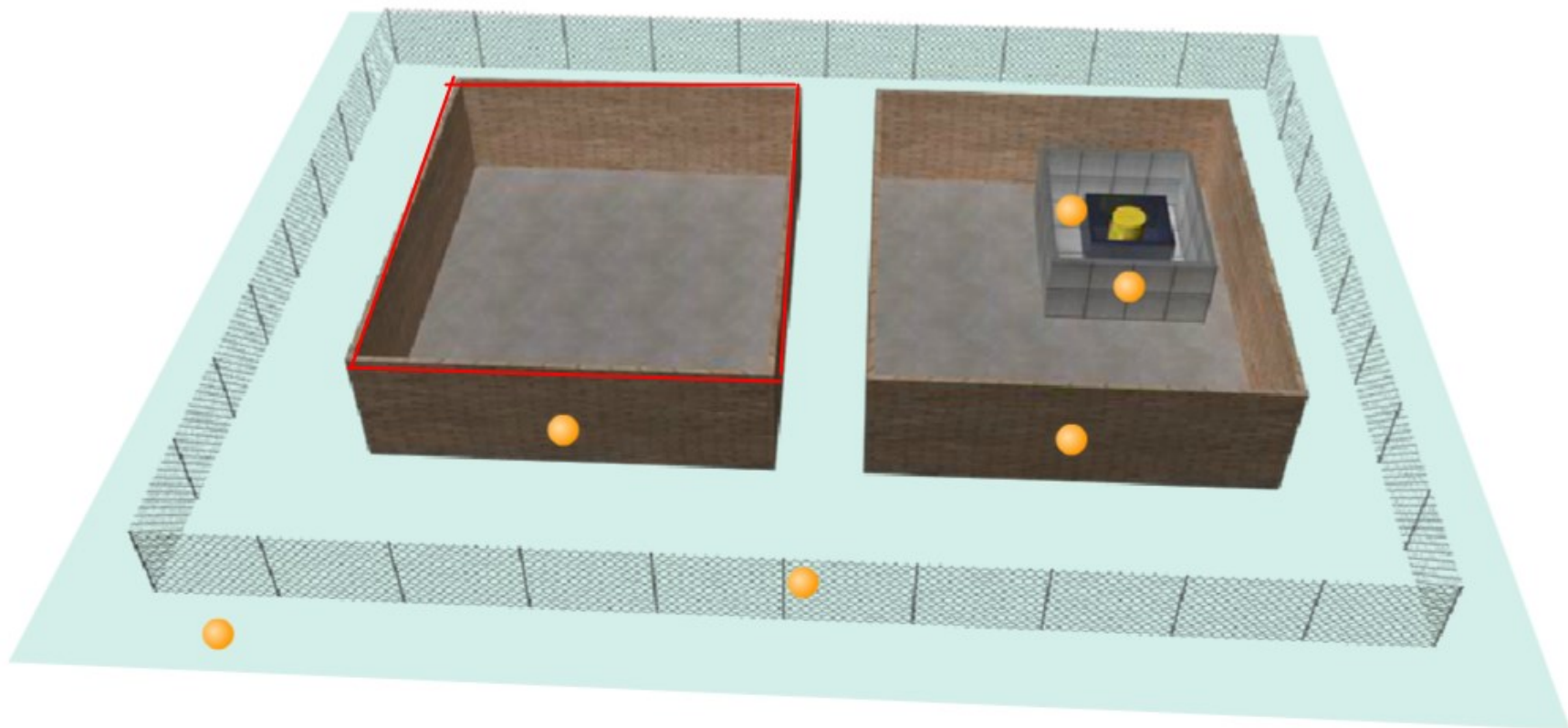




## Review of DOE Security Areas

### Exclusion Area (EA)

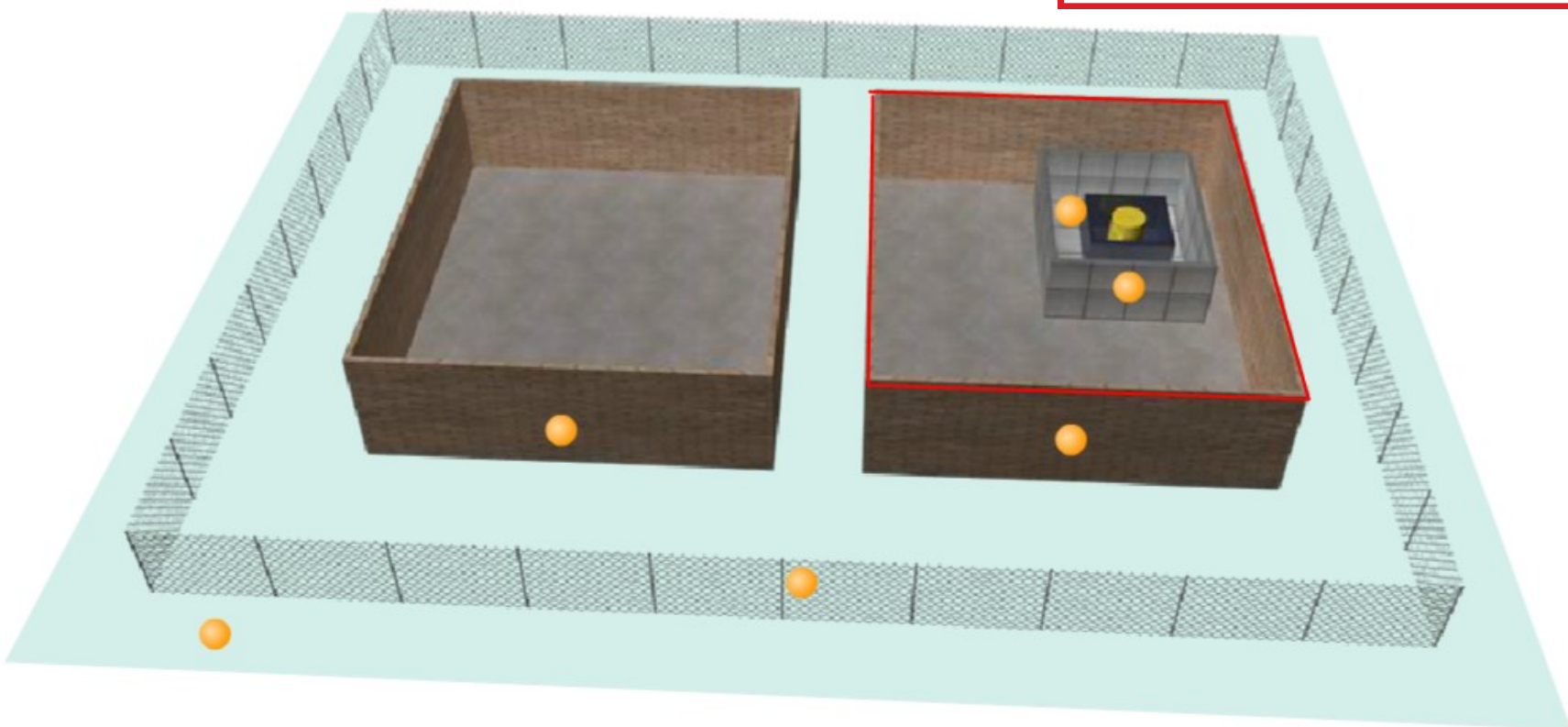
EAs are security areas defined by physical barriers and subject to access control where mere presence in the area would normally result in access to classified information.



## Review of DOE Security Areas

### Protection Area (PA)

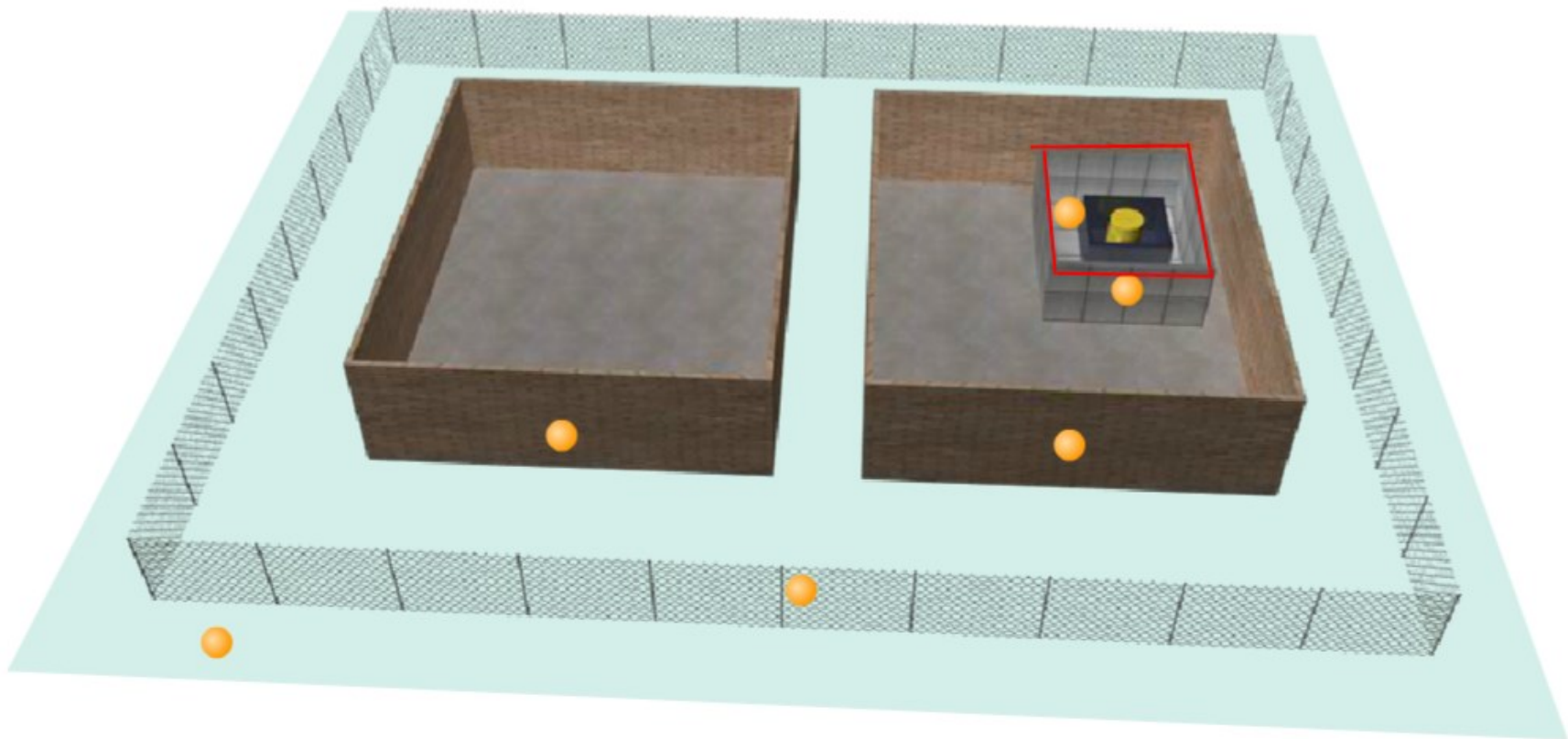
PA's are security areas defined by physical barriers such as walls or fences and surrounded by intrusion detection and assessment systems, to which access is controlled, used to protect Category II special nuclear matter and/or to provide a concentric security zone surrounding a material access area or a vital area.



## Review of DOE Security Areas

### Vital Area (VA)

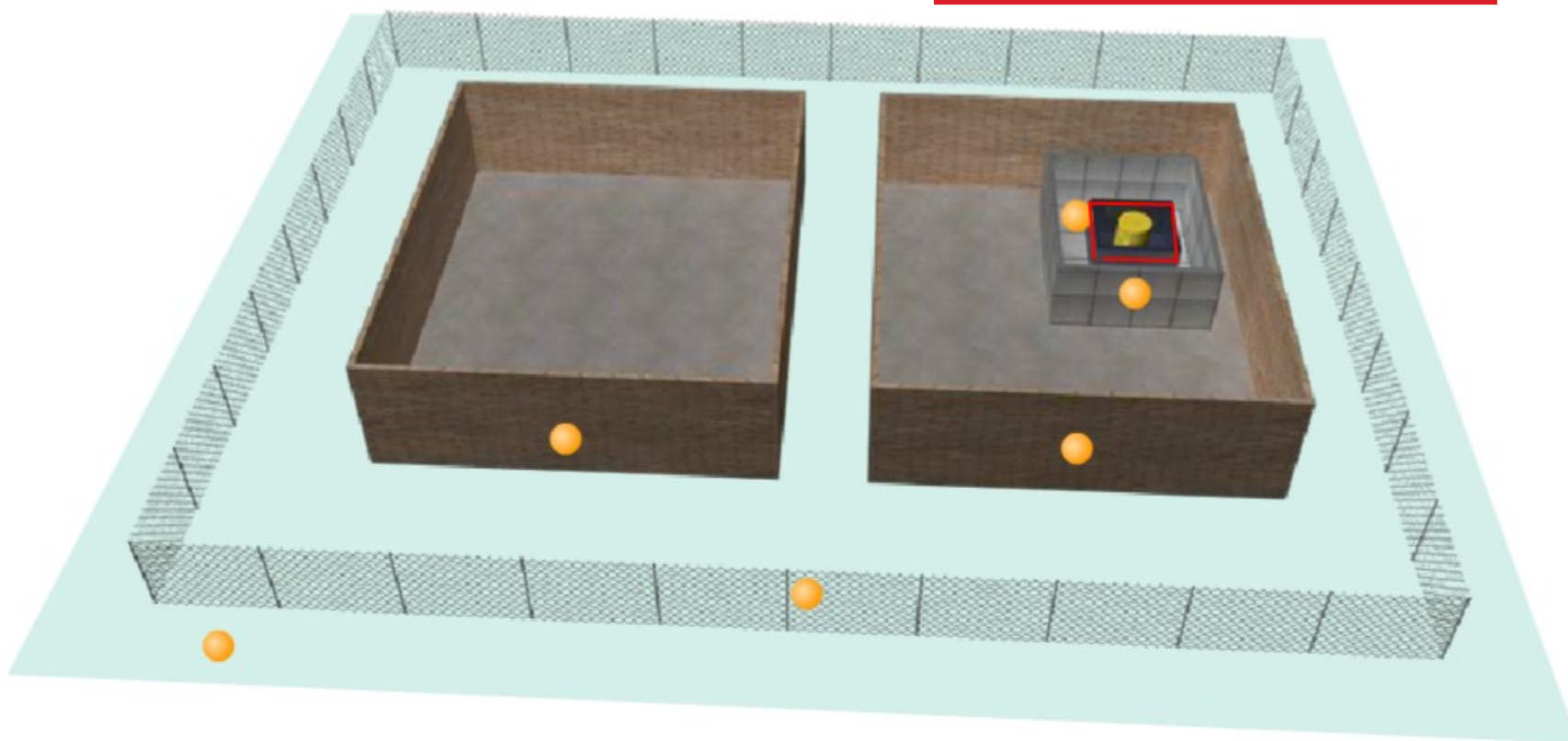
VA's are security areas located within a protected area possessing a separate perimeter and access controls to afford layered protection, including intrusion detection, for vital equipment, systems, or components whose failure or destruction would cause unacceptable interruption to a national security program or harm to the health and safety of the public.



## Review of DOE Security Areas

### Material Access Area (MAA)

MAAs are security areas that are approved for the use, processing, and/or storage of a Category I quantity or other quantities of special nuclear material that can credibly roll up to a Category I quantity and which has specifically defined physical barriers, located within a protected area, and is subject to specific access controls.





## Controlled/Prohibited Articles

When entering DOE facilities, all personnel must comply with the prohibited/controlled items requirements that administratively restrict them from being introduced into a security area. The following articles are *prohibited* from all DOE security areas:

- Dangerous weapons
- Explosives
- Instruments or material likely to produce substantial injury or damage to persons or property
- Controlled substances, such as illegal drugs and associated paraphernalia (excluding prescription medicine)
- Other items prohibited by law



Specific information covering prohibited items may be found under the provisions of 10 Code of Federal Regulations (CFR) Part 860 and 41 CFR 101-20.3 (see “Resources” above).

## Facility Importance Ratings

The following privately-owned articles are *prohibited* in LAs, EAs, PAs, VAs, or MAAs without prior authorization:

- Recording equipment (audio, video, optical, or data)
- Portable electronic devices equipment capable of recording information or transmitting data information system (any piece of equipment with a data exchange port capable of being connected to automated information system equipment)
- Cellular telephones and radio frequency transmitting equipment
- Computers and associated media
- Alcohol

*Note: Authorization for use of such devices or articles in one security area does not apply to all other security areas.*





## Knowledge Check

Question 1 of 1 ▾

Point Value: 10

\_\_\_\_\_ are security areas defined by physical barriers and subject to access control where mere presence in the area would normally result in access to classified information.

Protected areas (PAs)

Limited areas (LAs)

Exclusion areas (EAs)

Property protection areas (PPAs)

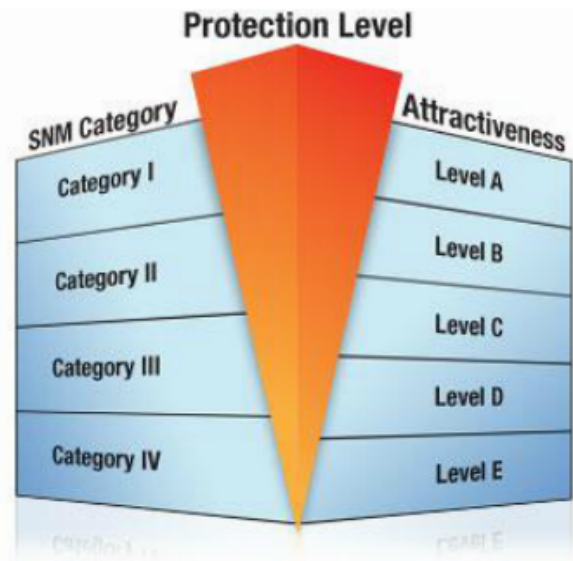
Material access areas (MAAs)

## NMC&A Program

NMC&A is another important element of the Safeguards and Security (S&S) Program. The purpose of NMC&A is to control and account for nuclear materials that are important to national security. Before a facility is allowed to handle nuclear materials, it must first meet certain DOE standards and be approved as a nuclear facility. Each site is required to develop its NMC&A Program procedures according to DOE requirements such as those found in DOE O 471.6, *Information Security Manual*, and DOE M 470.4-6, Chg. 1, *Nuclear Material Control and Accountability*.

Nuclear materials must be maintained and safeguarded. SNM is of particular concern to DOE because SNM can be used to produce nuclear weapons. DOE has specifically identified three materials as SNM because they can be used to produce a nuclear device: plutonium, uranium 233, and uranium that has been enriched in the isotope 235.



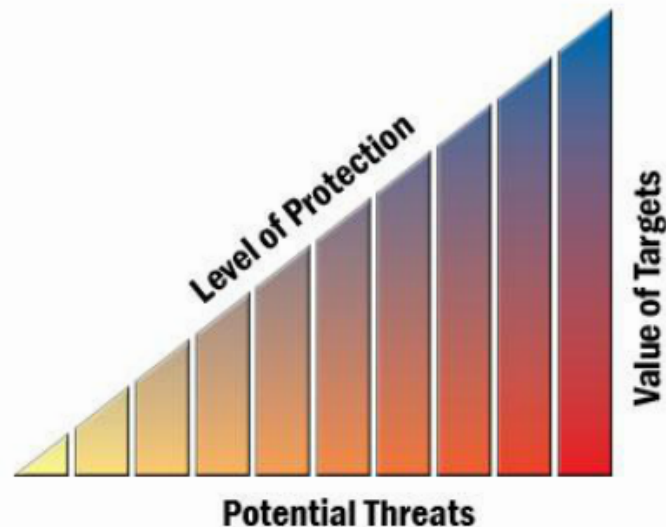


## SNM Classifications

SNM is classified into categories such as Category I, Category II, Category III, Category IV, and attractiveness levels A to E. In general, the category is based on the quantity of material present, and the attractiveness level is determined by the effort required to convert that material into an improvised nuclear device.

For SNM, the greatest protection is given to Category I materials, with lesser protection required for Categories II and III, and only minimal protection for Category IV materials. Similarly, greater protection is afforded to Attractiveness Level A materials than to Attractiveness Level E materials. One of the primary purposes of the MC&A program is to minimize the threat of proliferation of nuclear weapons by tracking and controlling materials used in their manufacture. Protecting special nuclear material, therefore, is a high priority in DOE.

## DOE Graded Security Protection



### Graded Protection

*Graded protection* was developed by DOE to provide varying layers of safeguards and security because the loss, theft, compromise, or unauthorized use of some DOE assets would have a serious impact on national security or the health and safety of DOE and contractor employees, the public, or the environment. In keeping with the graded safeguards concept, facilities may operate under varying safeguards requirements due to different material types, forms, and quantities.

To comply with the DOE graded protection concept, the facility must have controls to assure a system that provides varying degrees of physical protection, accountability, and material control to different types, quantities, physical forms, and compositions of nuclear materials consistent with the risks and consequences associated with threat scenarios.

## Lesson Summary

You should now be familiar with the following material:

1. Types of DOE security areas
2. Security area controlled/prohibited articles
3. Security area privately-owned prohibited articles
4. The purpose of the NMC&A Program
5. Materials designated as SNM
6. SNM classifications
7. The purpose of graded protection

An exam, based on the lesson objectives, follows



## PHY-210DE Lesson 3 Test

Question 1 of 7 ▼

Point Value: 14

Which of the following privately-owned articles are prohibited in LAs, EAs, PAs, VAs, or MAAs without prior authorization? (Select all that apply.)

- ☐ Cellular telephones and radio frequency transmitting equipment
- ☐ Alcohol
- ☐ Computers and associated media
- ☐ Recording equipment (audio, video, optical, or data)
- ☐ Portable electronic devices equipment capable of data recording or transmission

## PHY-210DE Lesson 3 Test

Question 2 of 7 ▼

Point Value: 14

Graded protection was developed by DOE to provide varying \_\_\_\_\_ of safeguards and security because the loss, theft, compromise, or unauthorized use of some DOE assets would have a \_\_\_\_\_ impact on national security or the health and safety of DOE and contractor employees, the public, or the environment.

- ☐ Layers, Serious
- ☐ Degrees, Serious
- ☐ Types, Moderate
- ☐ Layers, Minimal
- ☐ Degrees, Moderate



## PHY-210DE Lesson 3 Test

Question 3 of 7 ▼

Point Value: 14

Which of the following materials are identified as SNM because they can be used to produce a nuclear device? (Select all that apply.)

- ☐ Uranium 233
- ☐ Plutonium
- ☐ Tritium
- ☐ Lithium
- ☐ Uranium enriched in isotope 235

## PHY-210DE Lesson 3 Test

Question 4 of 7 ▼

Point Value: 14

Which of the following are SNM classifications? (Select all that apply.)

- ☐ Category I
- ☐ Category II
- ☐ Category VI
- ☐ Category V

## PHY-210DE Lesson 3 Test

Question 5 of 7 ▼

Point Value: 14

The purpose of NMC&A is to control and account for nuclear materials that are important to national security. Before a facility is allowed to handle nuclear materials, it must first meet certain DOE standards and be approved as a nuclear facility.

- ☐ True
- ☐ False

## PHY-210DE Lesson 3 Test

Question 6 of 7

Point Value: 15

Which of the following articles are prohibited in all DOE security areas? (Select all that apply.)

- ☐ Instruments or material likely to produce substantial injury or damage to persons or property
- ☐ Controlled substances, such as illegal drugs and associated paraphernalia
- ☐ Explosives
- ☐ Prescription medicines
- ☐ Dangerous weapons

## PHY-210DE Lesson 3 Test

Question 7 of 7 ▼

Point Value: 15

Match each type of security area with its description.

Established area having defined boundaries and access controls for the protection of DOE property. Protection measures shall be adequate to give reasonable assurance of protection for the assets and Departmental property. \_\_\_\_\_

Exclusion Area (EA)

A

Security area having boundaries defined by physical barriers, used for the protection of classified matter and/or Category III quantities of special nuclear material. \_\_\_\_\_

Property Protection Area (PPA)

B

Security area defined by physical barriers and subject to access control where mere presence in the area would normally result in access to classified information. \_\_\_\_\_

Limited Area (LA)

C

## PHY-210DE Lesson 3 Test

Question 7 of 7 ▼

continued

Security area defined by physical barriers such as walls or fences and surrounded by intrusion detection and assessment systems, to which access is controlled, used to protect Category II special nuclear material and classified matter.

Protected Area (PA)

A

Security area located within a protected area possessing a separate perimeter and access controls to afford layered protection, including intrusion detection, for vital equipment, systems, or components whose failure or destruction would cause unacceptable interruption to a national security program or harm to the health and safety of the public.

Vital Area (VA)

B

Security area approved for the use, processing, and/or storage of a Category I quantity or other quantities of special nuclear material that can credibly roll up to a Category I quantity and which has specifically defined physical barriers, located within a protected area, and is subject to specific access controls.

Material Access Area (MAA)

C

## Completion and Student Feedback Form: (Self-Study) PHY-210DE, Facility Security Officer Overview

Name: \_\_\_\_\_ Job Title: \_\_\_\_\_

Company: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

**Please leave these blank:**

**(KC1:     /10; CH1:     /100; KC2:     /20; CH2:     /100; KC3:     /10; CH3:     /100)**

**Overall Grade: \_\_\_\_\_ Received by: \_\_\_\_\_ Date: \_\_\_\_\_**

Please help us improve our training materials by answering the following questions. Your reactions, comments, and suggestions are needed and appreciated.

Please rate the following:

	Not Applicable	Poor	Fair	Good	Very Good	Excellent
1. The clarity of the instructions for using this training was...	<input type="radio"/>	1	2	3	4	5
2. The Organization of the training was...	<input type="radio"/>	1	2	3	4	5
3. The usefulness of the review questions was...	<input type="radio"/>	1	2	3	4	5
4. The level of detail in the course material was...	<input type="radio"/>	1	2	3	4	5
5. The overall quality of the training was...	<input type="radio"/>	1	2	3	4	5
6. What parts of the training were most useful?						



## Resources

DOE O 473.3, Protection Program Operations

DOE O 470.4B Chg 1, Safeguards and Security Program, Appendix B, Section 2, “Foreign Ownership, Control, or Influence Program”

DOE O 471.6 Information Security

DOE M 470.6-6, Chg 1. Nuclear Material Control and Accountability

10 CFR Part 860.4, Unauthorized Introduction of Weapons or Dangerous Materials

41 CFR Part, 101-20.3 Conduct on Federal Property

PHY-210DB Introduction to Facility Security Officer Student Workbook

DOD 5220.22-M National Industrial Security Program Operating Manual



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